

# MINUTES

## RISK AND ASSURANCE COMMITTEE MEETING

**Date:** Wednesday, 15 March 2023

**Time:** 9.30am

**Venue:** Council Chamber  
Rangitikei District Council  
46 High Street  
Marton

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**Present** Mr Philip Jones  
Cr Dave Wilson  
Cr Fi Dalgety  
Cr Jarrod Calkin  
Cr Simon Loudon  
HWTM Andy Watson

**In attendance** Mr Peter Beggs, Chief Executive  
Mrs Carol Gordon, Group Manager- Democracy and Planning  
Mrs Sharon Grant, Group Manager- People and Culture  
Mr Dave Tombs, Group Manager- Corporate Services  
Ms Kezia Spence, Governance Advisor  
Mr Matt Gordon, Health, Safety and Wellbeing Advisor  
Mr Gerhard Roux, Manager- Financial Services

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## **1 Welcome / Prayer**

Mr Jones welcomed the committee. The Mayor read the Council prayer.

## **2 Apologies**

No apologies were received.

## **3 Public Forum**

There was no public forum.

## **4 Conflict of Interest Declarations**

No conflict of interests were declared.

## **5 Confirmation of Order of Business**

Item 10.1 - Treasury Reporting followed the confirmation of the minutes.

Item 7.1 - Chairs report was at the conclusion of the meeting.

## **6 Confirmation of Minutes**

**Resolved minute number 23/ARK/001**

That the minutes of Risk and Assurance Committee Meeting held on 16 November 2022 **without amendment** be taken as read and verified as an accurate and correct record of the meeting, and that the electronic signature of the Chair of this Committee be added to the official minutes document as a formal record.

Cr D Wilson/Cr S Loudon. Carried

### **7.1 Follow-up Action Items from Risk and Assurance Meetings**

This item was taken as read.

**Resolved minute number 23/ARK/002**

That the report 'Follow-up Action Items from Risk and Assurance Meetings' be received.

Mr Jones/Cr F Dalgety. Carried

## 8 Chair's Report

### 8.1 Chair's Report - March 2023

The Chair provided an update at the conclusion of the meeting, noting that the weather events earlier this year are a concern and is important for Council to mitigate risks in this type of environment.

He also noted the cost of living is increasing and is important for the committee to consider what this means for the community.

**Resolved minute number 23/ARK/003**

That the Chair's Report –March 2023 be received.

Mr Jones/HWTM A Watson. Carried

## 9 Reports for Decision

### 9.1 Health, Safety and Wellbeing

The Committee welcomed Mr Matt Gordon as the Health and Safety Advisor for Council.

Mrs Grant took the Committee through the report and asked for endorsement of the due diligence plan.

**Resolved minute number 23/ARK/004**

That the Health, Safety and Wellbeing Report together with attachments, be received.

That the Risk and Assurance Committee endorses the revised Health, Safety and Wellbeing Due Diligence, without amendment.

Cr F Dalgety/Cr D Wilson. Carried

## 10 Reports for Information

### 10.1 Privacy Update

Mrs Grant noted this is the first time this has been presented to the Committee and this will become a regular report.

Mrs Grant noted a minor breach relating to information being shared to the wrong property. The staff member involved reported the breach to Mrs Grant as soon as it happened.

**Resolved minute number 23/ARK/005**

That the report 'Privacy Update' be received.

Mr Jones/Cr D Wilson. Carried

## **10.2 Protected Disclosures Update**

Staff confirmed that the Protected Disclosures policy and Privacy policy are reviewed externally.

**Resolved minute number 23/ARK/006**

That the report 'Protected Disclosures Update' report be received.

Cr D Wilson/HWTM A Watson. Carried

## **10.3 Internal Audit Programme**

Mr Jones stated that there are potential lessons learned from Cyclone Gabrielle and recommended Council test business continuity plans against weather events. Mr Beggs advised he would be comfortable bringing the business continuity plans forward to next year, 2023/24 and to advise what will be dropped to bring this forward.

**Resolved minute number 23/ARK/007**

That the report 'Internal Audit Programme' be received be received noting that we review the timeframe for the Business Continuity Planning.

Mr Jones/Cr F Dalgety. Carried

## **10.4 Risk and Assurance Committee Work Programme**

Mr Jones commented that the committee can raise issues that they believe have not been adequately considered. Mr Jones stated his view was that it would be of benefit to have a closer look at projects as an example of risks. Mr Jones stated he likes to see timelines and showing the risks associated that impact these timelines.

The committee discussed the procedure of Assets and Infrastructure projects and referring this to Risk and Assurance committee if needed. Mr Jones stated he anticipates the Long Term Plan may come to Risk and Assurance. Mr Beggs to bring a protocol back to the committee to the next meeting.

**Resolved minute number 23/ARK/008**

That the report 'Risk and Assurance Committee Work Programme' be received.

Cr D Wilson/Cr S Loudon. Carried

## **10.5 Fraud Reporting**

The report was taken as read.

**Resolved minute number 23/ARK/009**

That the report 'Fraud Reporting' be received.

HWTM A Watson/Cr D Wilson. Carried

**10.6 Strategic Risk Register**

Mr Jones discussed the obligations of Health, Safety and Wellbeing and would in future like to deep dive into one strategic risk at each committee meeting.

**Resolved minute number 23/ARK/010**

That the report 'Strategic Risk Register' be received.

Mr Jones/Cr F Dalgety. Carried

**10.7 Summary of Management Accounts**

This item was taken as read.

**Resolved minute number 23/ARK/011**

That the report 'Summary of Management Accounts' be received.

HWTM A Watson/Cr F Dalgety. Carried

**10.8 Risk Appetite and Tolerance Policy (draft)**

His Worship the Mayor requested staff need to be risk averse and conservative.

Next steps are to finalise and then put this in place however it may come back to the committee on annual basis.

**Resolved minute number 23/ARK/012**

That the report 'Risk Appetite and Tolerance policy (draft)' be received.

Mr Jones/HWTM A Watson. Carried

**10.9 Audit NZ Management Letter Update (2020/21)**

Mr Jones advised that if officers disagree with Audit they can bring this to the committee and we can note that we will take the risk.

**Resolved minute number 23/ARK/013**

That the report 'Audit NZ Management Letter Update' be received.

Mr Jones/HWTM A Watson. Carried

## **11 Discussion Items**

### **11.1 Treasury Reporting**

The Committee discussed the impacts of the changes to three waters and noted that there are a number of unknowns.

His Worship the Mayor stated his view, that he suspects there will be changes to stormwater and changes to happen with rural water schemes.

**Resolved minute number 23/ARK/014**

That the report 'Treasury Reporting' be received.

Mr Jones/HWTM A Watson. Carried

### **11.2 Annual Report 21/22 Progress Update**

Mr Tombs introduced Mr Gerhard Roux, Council's Finance Manager, to the committee.

Audit NZ is under a lot of pressure which impacts the delivery of the Annual Report, however other councils are also in the same position. Council is outside of the statutory timeframes and this impacts the management letter.

**Resolved minute number 23/ARK/015**

That the report 'Annual Report 2021/22 Progress Update' be received

Cr F Dalgety/Cr D Wilson. Carried

### **11.3 Insurance Update**

Mr Tombs discussed his intention to develop an Insurance Strategy. Mr Jones recommended that there should be an insurance strategy and renewals workshop with elected members and AON insurance. This should be to discuss the options of self-insuring and offshore insurance. Mr Jones further stated that Council should develop an insurance strategy. He also said that flood mapping and predicting potential flood areas when it comes to insurance risk is crucial.

**Resolved minute number 23/ARK/016**

That the report 'Insurance Update' be received.

HWTM A Watson/Cr D Wilson. Carried

**The meeting closed at 11.39am.**

**The minutes of this meeting were confirmed at the Risk and Assurance held on 22 June 2023.**

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**Chairperson**